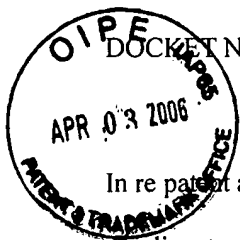


SW 2/21 ✓



DOCKET NO.: MS131753.03/MSFTP222USB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: **David Maxwell Chickering, et al.**
Serial No.: **09/430,767**
Filed: **October 29, 1999**
For: **CLUSTER-BASED AND RULE BASED APPROACH FOR AUTOMATED WEB-BASED
TARGETED ADVERTISING WITH QUOTAS**
Art Unit: **2121**
Examiner: **Wilbert L. Starks**

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. §1.97 and §1.98, and in compliance with 37 C.F.R. §1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications; (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. §120; and/or (c) U.S. Patent(s) and published applications(s).

Serial No.: _____
Filing Date: _____

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. §1.97(b) this Statement is being filed (one must be checked):

- (a) ☐ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☐ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063 for consideration of this Statement.
- (c) ☐ Before the mailing date of an Office Action after the filing of a request for continued examination under 1.114.

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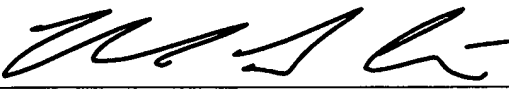
- (d) ☒ After the period set forth in 37 C.F.R. §1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) ☐ The required certification is given below, or
- (2) ☒ Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement :
- (i) ☐ Enclosed is a check covering the fee;
- (ii) ☐ Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
- (iii) ☒ Enclosed is a credit card payment form covering the fee.
- (e) ☐ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below. Regarding the fee set forth in 37 C.F.R. §1.17(p) for consideration of this Statement:
- (1) ☐ Enclosed is a check covering the fee; or
- (2) ☐ Charge the fee set forth in 37 C.F.R. §1.17(p) to Deposit Account No. 50-1063; or
- (3) ☐ Enclosed is a credit card payment form covering the fee.

4. Certification (if applicable)

- (a) ☐ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) ☐ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1063.

Respectfully Submitted,

By 

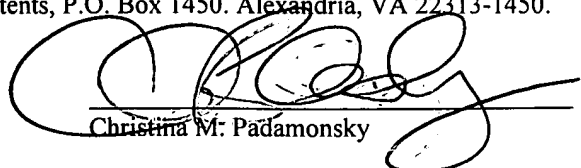
Himanshu S. Amin
Reg. No. 40,894

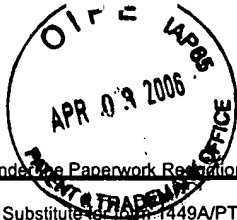
Amin & Turocy, LLP
24TH Floor, National City Center
1900 East 9th Street
Cleveland, Ohio 44114
(216) 696-8730

CERTIFICATE OF MAILING

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Substitute for Form 1449A/PTO

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number	09/430,767
Filing Date	October 29, 1999
First Named Inventor	David Maxwell Chickering
Art Unit	2121
Examiner Name	Wilbert L. Starks
Attorney Docket Number	MS131753.03/MSFTP222USB

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US- 6,876,974	04-05-2005	Marsh, et al.	
		US- 6,463,585	10-08-2002	Hendricks, et al.	
		US- 6,286,005	09-04-2001	Cannon	
		US- 5,635,978	06-03-1997	Alten, et al.	
		US- 5,848,397	12-08-1998	Marsh, et al.	
		US- 6,026,369	02-15-2000	Capek	
		US- 6,055,510	04-25-2000	Henrick, et al.	
		US- 6,128,663	10-03-2000	Thomas	
		US- 6,134,532	10-17-2000	Lazarus, et al.	
		US- 6,665,653	12-16-2003	Heckerman, et al.	
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

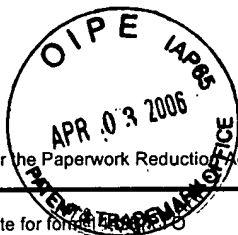
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Signature

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SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	09/430,767
				Filing Date	October 29, 1999
				First Named Inventor	David Maxwell Chickering
				Art Unit	2121
				Examiner Name	Wilbert L. Starks
Sheet	2	of	2	Attorney Docket Number	MS131753.03/MSFTP222USB

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		R. DEDRICK; "A Consumption Model for Targeted Electronic Advertising", IEEE Multimedia, Summer 1995, p. 41-49, vol. 2, no. 2	
		R.R. YAGER; "Targeted e-commerce marketing using fuzzy intelligent agents", IEEE Intelligent Systems, November-December 2000, p.42-45, vol. 15, no. 6	
		M. CHARIKAR, et al.; "On Targeting Markov Segments", Proceedings of the Thirty-First Annual ACM Symposium on Theory of Computing, 1999, pp.99-108	
		CHICKERING, et al.; "Targeted Advertising with Inventory Management", EC'00, 2000, pp. 1-5	
		CHICKERING, et al.; "A Decision Theoretic Approach to Targeted Advertising", Microsoft Research, pp. 1-7	
		CHICKERING, et al.; "Goal-Oriented Clustering", Technical Report, May 2000, p.1-9	
		DAVID HECKERMAN; "A Tutorial on Learning with Bayesian Networks", Technical Report, March 1995, pp. 1-57	
		M. LANGHEINRICH, et al.; "Unintrusive Customization Techniques for Web Advertising", http://www8.org/w8-papers/2b-customizing/unintrusive/unintrusive.html , Viewed November 28, 2000, p. 1-19	

Examiner Signature		Date Considered	
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¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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